

Civilian Human Resources Agency Europe Region



Total Army Performance Evaluation System (TAPES)

Instructor Name
(Insert CPAC Name) CPAC

Course Objectives

- Provide introduction to the Total Army Performance Evaluation System (TAPES)
- Identify what changes and what does not change under TAPES
- Explain the TAPES performance management system and it's annual cycle
- Identify the basic elements of the performance plan and evaluation process
- Build performance-focused job objectives that align to the organization and relate to the DoD mission
- Apply guidelines in preparing for and conducting effective performance appraisals

TAPES

- Army's system for planning and appraising performance
- Designed to improve Total Army performance by:
 - Communicating organizational goals, priorities, and Army values
 - Establishing individual expectations for performance
 - Facilitating frequent discussion between Raters and Ratees
 - Requiring annual written performance evaluations
- Consists of two systems:
 - Base System: Applies to WG/GS-08 and below
 - Senior System: Applies to WG/GS-09 and above
- References:
 - Army Regulation 690-400, Chapter 4302
 - Department of Army Pamphlet 690-400

Comparison

- TAPES is very similar to the NSPS appraisal system
 - A major difference: No pay pools or pay pool performance payouts

	NSPS	TAPES
Annual Rating Period	X	X
Official rating Chain	X	X
Performance Plans	X	X
Ratings	X	X
Pay Pools	X	
Performance Payouts	X	
Reconsideration Process	X	X

Performance Rating Comparison

- NSPS:
 - Each job objective is assigned a rating
 - Objective ratings are averaged to get overall (final) rating
 - Objective weights and contributing factors impact overall rating
 - Level 5 is highest rating and Level 1 is lowest
 - Minimum rating period 90 days
- GS (TAPES):
 - Does not use weights or contributing factors
 - Each objective is assigned a level of performance (not a rating)
 - Rater then determines overall rating
 - Level 1 is highest rating and Level 5 is lowest
 - Minimum rating period 120 days

Conversion to TAPES

- Transfer current NSPS objectives to applicable TAPES form
 - DA form 7222-1, Senior System - (GS-09 and above)
 - DA form 7223-1, Base System - (GS-08 and below)
- Rating cycle for employees after conversion: **01 Oct 09 – 31 Oct 10**
 - Cycle 1: **01 Oct 09 – 08 May 10** (NSPS) and **09 May 10 – 31 Oct 10** (TAPES)
 - Cycle 2: **01 Oct 09 – 22 Oct 10** (NSPS) and **23 May 10 – 31 Oct 10** (TAPES)
 - Cycle 3: **01 Oct 09 – 19 Jun 10** (NSPS) and **20 Jun 10 – 31 Oct 10** (TAPES)

Note: There were three different conversion dates. Managers must use the date their organization converted.

Normal TAPES Cycles

(Effective after current cycle)

TAPES BASE SYSTEM

GS Grade	Conversion Date	End of 1st TAPES Rating Cycle	End of 2nd TAPES Rating Cycle	End of 3rd TAPES Rating Cycle
GS 1-5	23 May 10	31 Oct 10	30 Apr 11	30 Apr 12
GS 6-8	23 May 10	31 Oct 10	30 Mar 11 *	31 Jan 12 **

* Rating cycle extended to ensure employees are able to perform under an approved performance plan for at least 120 days.

** Normal TAPES rating cycle end date.

TAPES SENIOR SYSTEM

GS Grade	Conversion Date	End of 1st TAPES Rating Cycle	End of 2nd TAPES Rating Cycle	End of 3rd TAPES Rating Cycle
GS 9-12	23 May 10	31 Oct 10	31 Oct 11	31 Oct 12
GS 13-15	23 May 10	31 Oct 10	30 Jun 11	30 Jun 12

TAPES Required Actions

- Performance Planning (Performance Plans): Establish performance expectations and performance objectives
- Monitoring (Midpoint Review): Check and adjust employee performance
- Annual Appraisal: Final evaluation with rating

Performance Management: Planning

Performance Plans

- Employees must have an approved performance plan within 30 days from start of rating period, entrance on duty, or job change
 - Senior System (Objectives)
 - Base System (Responsibilities)
 - All objectives are considered critical
 - Objectives should include milestones, and other measurable aspects
- Performance plan becomes effective on date Senior Rater initials
- Employees must have performed on an approved performance plan for at least 120 days in order to be eligible for a rating

Initial Performance Counseling

- Face-to-face counseling must be conducted within 30 days from the beginning of rating period, entrance on duty, or job change
- Supervisor explains:
 - Employee's role in mission
 - Performance expectations
 - Organizational goals (objective alignment)
 - Timelines and measurement methods
 - Career goals
 - DA values
 - Training needs

Initial Counseling - Continued

- Employee and supervisor discuss and agree to performance objectives
- If disagreement, supervisor decides
- Support form can be supplemented with additional sheets
 - Base System Support Form: DA 7223-1
 - Senior System Support Form: DA 7222-1
- Senior rater reviews performance plan and approves or requests changes
- Employee, Supervisor, and Senior Rater initial/date in appropriate blocks
 - Base System: Page 2
 - Senior System: Part III

Writing Performance Objectives

- Start with an action verb
- Specify a single key result to be accomplished
- Be as measurable and verifiable as possible
- Relate directly to employee's role and mission
- Realistic/attainable while representing a challenge
- Specify a target date for completion

Types of Performance Objectives

- Routine (Address repetitive common place duties)
- Problem solving (Dealing with problem situations)
- Innovative (Create new or improved methods)
- Personal development (Further professional growth)

DA Performance Standards

- When building performance objectives, structure them around established DA performance standards (shown on support forms)
 - Technical competence
 - Innovation/Initiative
 - Responsibility/Accountability
 - Working relations
 - Communication
 - For Supervisors/Managers:
 - Supervision/Leadership and EEO/AA (Base System)
 - Org Mgt/Leadership and EEO/AA (Senior System)

SMART Objectives

S - Specific

- Specific regarding the result (not the activities to achieve that result)

M - Measurable

- Quantity (how many), time (how long), quality (how good), resources (how much)

A - Aligned

- Aligned objectives draw a line of sight between the employee's work, the work unit's goal, and the organization's mission

R - Realistic and Relevant

- Realistic: Can be accomplished with the resources, personnel, and time
- Relevant: Are important to the employee and to the organization

T - Timed

- There is a point in time when the objective will start, or when it will be completed

Aligning Work to Mission



- Leaders define the org's mission and strategic goals
- Based on mission/posture statements, Commander's Intent, etc
- Cascaded to the work unit and employee objectives
- Objectives draw a line of sight between the employee's work, the work unit's goals, and the organization's success

Performance Management: Monitoring

Performing, Monitoring, Developing

- Throughout the performance cycle:
 - Employee is working toward accomplishing the established performance objectives
 - Supervisor is monitoring employee performance and providing assistance, feedback, and direction as needed
 - Both employee and supervisor are taking steps toward developing the employee

Midpoint Counseling

- Discussion must occur in the middle of the rating cycle
- Supervisor discusses with employee
 - Progress towards objectives and accomplishments
 - Training completed or to be scheduled
 - DA values
 - Identifies deficiencies and discuss remedies
- Supervisor makes note of discussion on support form
 - Add or change objectives
 - If major changes occur, Rater must send the support form to obtain Senior Rater approval
 - Annotate accomplishment
 - Document discussion

Adjusting a Performance Plan

Guidelines for changing the performance plan

- Performance plans may be changed during the year
- If major changes to expectations are made, employee should be allowed sufficient time before the end of cycle to work towards a new performance plan (120 days)
- Best practice: No changes in performance plan after midpoint counseling
- No surprises

Feedback Aims & Opportunities

Feedback Aims

- To reinforce positive behavior
- To acknowledge contributions and accomplishments
- To anticipate difficulties
- To remedy shortfalls

Feedback Opportunities

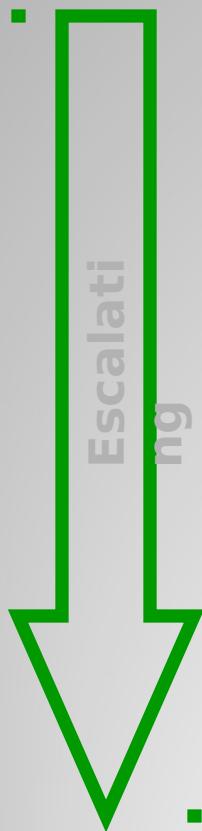
- In the moment (*For instance*)
 - When answering a question
 - When things go well (or not)
- On a schedule
 - Following completion of a project or task
 - During required Performance Conversations

Developing

Options:

- Meaningful performance-related discussion
- Mentoring and coaching
- Classroom training
- Participation in process-improvement teams
- Details and reassessments
- Review and update Individual Development Plans

Addressing Performance Deficiencies



Options

- Remedial training
- Mentoring
- Coaching
- Reassignment
- Performance Improvement Plan
- Letter of counseling
- Verbal or written warning
- Adverse action (reduction or removal)

Needs Improvement

- Notify the employee immediately
- Counsel early and frequently
- Document discussions and clarify objectives and expectations
- Keep copies of work products
- Help employee work towards success level of achievement
- If performance has dropped below Level 3 (Fair and below), must notify CPAC 90 days prior to WGI due date
 - Formal letter issued to employee explaining reasons for denial
 - Appeal right to MSPB, after exhausting agency grievance procedure
 - Important – documentation /counseling is essential to support denial

Fail Performance Performance Improvement Plan

• (Same) counseling process for needs improvement

- Performance Improvement Period (PIP)
 - Formal letter addressing deficiencies and expectations
 - Employee is provided normally with 120 days to improve
 - Defines assistance to be provided to help meet expectations
 - Formal training and/or OJT
 - Coaching
 - More direct guidance is provided
 - Frequent progress checks take place

Fail Performance Performance Improvement Plan (PIP)

- Employees who fail to improve OR improve but fail to sustain improvements for at least a year from the beginning of the PIP will be:
 - Reassigned
 - Reduced in grade
 - Removed from civil service

Performance Management: Rating

Rating and Rewarding

- This phase occurs after the end of the rating cycle
- Employees may provide their accomplishments to rater
 - Base System: “Key Points Made” section, DA Form 7223-1
 - Senior System: Part IV(c), DA Form 7222-1
 - If more space is need, addendums (Word Docs) can be used
- Evaluations are completed immediately thereafter
 - Base System: DA Form 7223
 - Senior System: DA Form 7222
- Once approved by the senior rater, final evaluation is relayed to the employee

Roles: Who's Involved?

Employee	Learns what is expected to perform the duties of their position, discusses ideas about the work, performs to best of their abilities, assists in establishing job objectives (Senior System employees initiate objectives), keeps track of accomplishments and provides information to rater.
Rating Official	Immediate supervisor. Establishes job objectives and performance expectations, defines mission, monitors performance, mentors, rates employees, recommends rating to senior rater.
Senior Rater	Manager above supervisor. Reviews and approves performance plans. Resolves disagreements/overrides Rater. Determines overall performance ratings. Adds bullet comments on performance and addresses employee potential. Reviews and adjusts recommended evaluations and ratings from rating official(s).

Army Values

Loyalty

- Bear true faith and allegiance to the U.S. Constitution, the Army, your unit and other Soldiers

Duty

- Fulfill your obligations

Respect

- Treat people as they should be treated

Selfless Service

- Put the welfare of the Nation, the Army and subordinates before you own

Honor

- Live up to all the Army values

Integrity

- Do what's right – legally and morally

Personal Courage

- Face fear, danger or adversity (physical or moral courage)

- Rating Officials will
 - Discuss values/ethics with employees
 - Document positive aspects of Army values on the annual performance appraisal

Rating Process

(Base System - DA Form 7223)

• Rater completes Parts I through V

- Administrative Data
- Performance Award
- Quality Step Increase (Only Level 1 Ratees are eligible)
- Duty Description
 - Areas of Special Emphasis
 - Counseling Dates
- Army Values
- Responsibilities Rating (considering employee's input)

Rating Process- Continued

(Base System - DA Form 7223)

- Rater completes Part Vb – Rating Responsibilities

- Responsibilities listed on left side of form with trigger words to remind rater of types of activities being rated
- Rater checks the appropriate block for each responsibility after assessing what and how well employee did based on Levels of Performance

- Levels of Performance (4):

- Excellence (E) - consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.
- Success (S) - usually performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.
- Needs Improvement (N) - sometimes performs at level described by standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.
- Fails - (F) - frequently fails to perform at levels described by standards and documented expectations. Rarely achieves expected results. Weaknesses clearly outweigh strengths.



Identify Job Responsibility being rated (Example: Technical Competence)

What Tasks? (Example: Prepare Correspondence)

How well were the tasks done?

Use Performance Standards (Quality, Volume, Timeliness)

Rate Responsibility (Example: Technical Competence = Success)

Rating Process - Continued

(Base System - DA Form 7223)

- Rater writes bullet examples of Ratee accomplishments
 - Must be completed for blocks rated other than Success
 - Examples are encouraged for blocks rated at Success Level
- Rater submits proposed evaluation form with counseling checklist to senior rater
- Senior Rater completes Part VI
 - Reviews responsibilities and examples of performance
 - If in agreement with recommendations, checks appropriate Overall Performance Rating using definitions (next slide)
 - Writes bullet comments on the Ratee's performance/potential

Rating Process - Continued

(Base System - DA Form 7223)

Senior raters will use the following definitions to assign Overall Performance Rating in Part VI(a):

- Successful
 - Level 1 - Ratee with no supervisory duties is rated Excellence in 3 or more of the non-supv responsibilities and Success in the remaining nonsupervisory responsibilities. Ratee with supervisory duties is rated Excellence in 4 or more responsibilities—at least one of which must be either supervision/leadership or EEO/AA and Success in the remainder.
 - Level 2 - Ratee with no supv duties is rated Excellence in either 2 or one of the nonsupv responsibilities and Success in the remaining non-supv responsibilities. Ratee with supervisory duties is rated Excellence in either 2 or 3 responsibilities—one must be either supervision/leadership or EEO/AA and Success in the remainder.
 - Level 3 - Ratee with no supv duties is rated Success in all rated responsibilities. Ratee with supv duties is rated Excellence in one or more nonsupv responsibilities but Success in both supervision/leadership and EEO/AA or who is rated Success in all nonsupv responsibilities and Excellence in either supervision/leadership or EEO/AA.
- Fair - Ratee is rated Needs Improvement in 1 or more responsibilities and not rated Fails in any.
- Unsuccessful - Ratee is rated Fails in 1 or more responsibilities regardless of ratings assigned remaining responsibilities.

Rating Process (Senior System - DA Form 7222)

- Rater completes Parts I through VI
 - Administrative Data
 - Performance Award
 - Quality Step Increase (Only Level 1 Ratees are eligible)
 - Duty Description
 - Army Values
 - Performance Evaluation (considering employee's input)

Rating Process - Continued

(Senior System - DA Form 7222)

- Rater completes Part VI – Performance Evaluation

- Refers to performance objectives and employee contributions
- Determines which standards relate to each objective and applies appropriate standards (Technical Competence)
- Rater assesses what/how well employee did based on Levels of Performance and marks the rating by each objective

- Levels of Performance (4):

- Excellence (E) - consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.
- Success (S) - usually performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.
- Needs Improvement (N) - sometimes performs at level described by standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.
- Fails - (F) - frequently fails to perform at levels described by standards and documented expectations. Rarely achieves expected results. Weaknesses clearly outweigh strengths.



Identify Job Objective being rated



Apply Performance Standards (Technical Competence,
Innovation)



Rate Objectives using Levels of Performance (Excellence,
Success)



Annotate Objective Ratings on Support Form (repeat as needed)

b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES/INDIVIDUAL PERFORMANCE STANDARDS

- S Prepare/present briefing on direct procurement contracting at Worldwide Symposium of Traffic Management Specialties.
- E Develop automated tracking system for status/results of contractor default actions.
- S Lead/supervise personnel
 - Timely counsel subordinates and evaluate performance.



Total All Objective Ratings and Check Appropriate Block

PART VI - PERFORMANCE EVALUATION (Rater)

a. PERFORMANCE DURING THIS RATING PERIOD

Comparison of individual objectives against accomplishments and DA-established performance standards resulted in the following objectives ratings:

Excellence
75% or More Obj

Excellence
25-74% Obj

Success All or
Excellence

Needs Improvement
1 or More Obj

Fails 1 or More
Obj

Includes Excellence in Org Mgt/Ldshp
Obj for supv/mgr Yes

OR EEO/AA
 No

Rating Process - Continued

(Senior System - DA Form 7222)

- Supervisor assigns overall rating for rating period based on ratings of individual objectives
 - Excellence on 75% or more of objectives
 - Excellence on 25% - 74% of objectives
 - All Success or Excellence on objectives
 - Needs Improvement on 1 or more objectives
 - Fails on 1 or more objectives

Rating Process - Continued

(Senior System - DA Form 7222)

- Rater writes bullet examples of Ratee accomplishments
 - Must be completed for blocks rated below Success and those rated Excellence as space permits
 - Examples are encouraged for objectives rated Success
- Rater submits proposed evaluation form with support form to senior rater
- Senior Rater completes Parts VIII and IX
 - Reviews objectives and examples of performance
 - If in agreement with recommendations, checks appropriate Overall Performance Rating using definitions (next slide)
 - Writes bullet comments on the ratee's performance/potential

Rating Process - Continued

(Senior System - DA Form 7222)

Senior raters will use the following definitions to assign Overall Performance Rating in Part VIII (display on next slide):

- Successful -
 - Level 1 – Ratee with no Supervisory duties is rated Excellence in 75% or more of the objectives and Success in the remaining non-supv objectives. Ratee with Supervisory duties must also be rated Excellence in 75% percent or more of ALL objectives, which must include Excellence ratings for either Org Management/Leadership or EEO/AA objectives and Success in the others.
 - Level 2 – Ratee with no Supervisory duties is rated Excellence in 25-74% of rated objectives and Success in the remaining objectives. Ratee with Supervisory duties must be rated Excellence in 25-74% of ALL objectives, which must include Excellence ratings for either Org Management/Leadership Objective(s) or EEO/AA Objective(s) and at least Success in others.
 - Level 3 - All Ratees who are rated Success in ALL objectives or Excellence in 1% through 24% and Success in remaining objectives. Ratees with Supervisory duties who were rated Excellence in any number of objectives but Success in those objectives for both Org Management and Leadership and EEO/AA.
- Fair - All Ratees who are rated Needs Improvement in 1 or more objectives and are NOT Rated Fails in any.
- Unsuccessful - All Ratees rated Fails in 1 or more objective(s) regardless of ratings assigned to other objectives.

Rating Process - Continued

(Senior System - DA Form 7222)

- Senior rater checks appropriate Overall Performance Rating using definitions
- Writes bullet comments on the ratee's performance/potential

PART VIII - SENIOR RATER <i>(if used)</i> or RATER <i>(no senior rater used)</i>	PART IX - SENIOR RATER <i>(if used)</i>
<p>OVERALL PERFORMANCE RATING</p> <p>1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/></p> <p>SUCCESSFUL</p> <p>FAIR</p> <p>UNSUCCESSFUL (MUST Have Senior Rater Review)</p>	<p>BULLET COMMENTS <i>(Performance/Potential)</i></p> <p>-Contributed significantly to US defensive posture in Mid-East. High potential individual;</p> <p>A completed DA Form 7222-1 was received with this report and considered in my evaluation and review:</p> <p><input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <i>(Explain)</i></p>

Final Counseling

- Supervisor discusses rating with employee
- Employee is last to sign rating (original issued to employee)
- Send completed appraisals/support forms within 45 Days of the end of the rating cycle to:CHRA.USCPOCEUR@eur.army.mil
- For upload of appraisals, the managers should be submitting using the Mass Appraisal spreadsheet. Guidance and spreadsheet in the correct format required by DCPDS: <https://cpolrhp.cpol.army.mil/eur/management/awards/index.htm>.
- Supervisor keeps a copy in employee folder
- Ensure timely performance awards are submitted
- Reconsideration Processes:
 - Ratee encouraged to resolve disagreements informally with rating chain
 - Formal requests must be submitted as formal grievance
 - Must be submitted within 15 days from appraisal receipt or conclusion of informal process

Rewarding Performance

- Army philosophy, generally employee should be eligible for a performance award at the end of rating period
- AR 672-20 covers incentive awards
- Types of awards
 - Rating-based monetary award
 - Up to 10% of base salary
 - Quality Step Increase (QSI)
 - No more than 1 per 52 weeks period
 - Must be rated success level 1

Special Appraisals

- Document assessment of employee during a particular period
- Employees must have performed on approved plan for 120 days
- Considered by rater responsible for completing annual appraisal
- Should be prepared for ratees on Details/Temp Promotions of 120 days or more
 - If ratee is on this type of assignment at end of rating cycle, an annual appraisal should be prepared
- Required when Raters or Ratees leave their positions and more than 120 days remain in the cycle
 - Special appraisal is provided to new rater to serve as input when completing annual appraisal
 - If departure is within 120 days from end of rating cycle, an annual appraisal must be prepared

Resources

- References:
 - Army Regulation 690-400, Chapter 4302
 - Department of Army Pamphlet 690-400
- Civilian Personnel Advisory Center:
 - <insert name, telephone, e-mail here>

Questions?